PTO/SB/21 (09-04)
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| TRANSMITTAL FORM First Named Inventor | 5.155. 2.5 . 5ps. 1.3000000 7.00 0 1000, 110 per | 20.13 | Application Number | 10/816 | ,228 | |
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| Art Unit 2875 Examiner Name Tso | TRANSMITTAL | | Filing Date | March | 31, 2004 | |
| Art Unit 2875 Examiner Name Tso | | | First Named Inventor | | <u> </u> | |
| Examiner Name Tso | | | | | | |
| ENCLOSURES (Check all that apply) Fee Transmittal Form Fee Attached Licensing-related Papers Amendment / Reply After Final Petition After Final Petition to Convert to a Provisional Application Affidavits/declaration(s) Extension of Time Request Express Abandonment Request Information Disclosure Statement Corp. Number of CO(s) Reply to Missing Parts/Incomplete Application Reply to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Name SINSHEIMER, SCHIEBELHUT & BAGGETT Signature CERTIFICATE OF TRANSMISSION/MAILING I hereby cartify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with safety. Application or the propagation on the date shown below. Signature CERTIFICATE OF TRANSMISSION/MAILING I hereby cartify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with safety. Application, or the propagation of the United States Postal Service with safficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the safe and the propagation of the propagation of the patents of the Uspro or deposited with the United States Postal Service with safficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. | (to be used for all correspondence after initial filing, | 1) | Examiner Name | | | |
| Fee Attached Licensing-related Papers Appeal Communication to Board of Appeals and Interferences Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) Petition Affidavits/declaration(s) Petition to Convert to a Provisional Application Provisional Applica | Total Number of Pages in This Submission | 4* | Attorney Docket Number | 3084.0 | 28 | |
| Fee Attached Licensing-related Papers Appeal Communication to Board of Appeals and Interferences Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) Petition Affidavits/declaration(s) Petition to Convert to a Provisional Application Power of Attorney, Revocation Provisional Application Power of Attorney, Revocation Proprietary Information Proprie | | | | | | |
| Fee Attached Licensing-related Papers Appeal Communication to Board of Appeals and Interferences Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) Petition Petition to Convert to a Provisional Application of Time Request Petition (Change of Correspondence Address) Proprietary Information Status Letter X blue of Correspondence Address X below): Return postcard to applicant's attorney. Remarks Proprietary Information Proprietary Information Status Letter X blue of Correspondence Address X below): Return postcard to applicant's attorney. Return postcard to applicant's attorney. Return postcard to applicant's attorney. Remarks Proprietary Proprietary Proprietary Information Proprieta | | ENC | LOSURES (Check all the | at apply | | |
| Appeals and Interferences Appeal Communication to TC (Appeal Notice, Brief, Repty Brief) After Final After Final After Final Affidavits/declaration(s) Affidavits/declaration(s) Affidavits/declaration(s) Affidavits/declaration(s) Affidavits/declaration(s) Affidavits/declaration(s) Affidavits/declaration(s) Affidavits/declaration(s) Affidavits/declaration(s) Power of Attomey, Revocation Change of Correspondence Address Terminal Disclaimer X Other Enclosure(s) (please identify below): Request for Refund Request for Refund CD, Number of CD(s) Landscape Table on CD Remarks *Exclusive of cited references SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Name SINSHEIMER, SCHIEBELBUT & BAGGETT Signature Date CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with states brown below. Signature Appeal Communication to TC (Appeal Notice, Brief, Repty Brief) Proprietary Information Proprietary Information Proprietary Information Proprietary Information Status Letter X Other Enclosure(s) (please identify below): Return postcard to applicant's attorney. Return postcard to applicant's attorney. Return postcard to applicant's attorney. Return postcard to applicant's attorney. Return postcard to applicant's attorney. Return postcard to applicant's attorney. Return postcard to applicant's attorney. Return postcard to applicant's period of the Information of the Information proprietary information Proprietary Information Proprietary Information Status Letter CD, Number of CD(s) Return postcard to applicant's attorney. Return postcard to applicant's attorney. Return postcard to applicant's period of the Information proprietary Information | Fee Transmittal Form | | Drawing(s) | | After Allowance communication to (TC) | |
| Amendment / Reply After Final Provisional Application Change of Correspondence Address Extension of Time Request Express Abandonment Request After Final Express Abandonment Request After Final Disclaimer Express Abandonment Request After Final Application Change of Correspondence Address Active Final CD, Number of CD(s) Landscape Table on CD Certified Copy of Priority Document(s) Document(s) Reply to Missing Parts/Incomplete Application Reply to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Name SINSHEIMER, SCHIEBELHUT& BAGGETT Signature Date CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. Signature Signature Application CD, Number of CD(s) Landscape Table on CD Return postcard to applicant's attorney. Return postcard to application Return pos | Fee Attached | | Licensing-related Papers | | | |
| Affidavits/declaration(s) Affidavits/declaration(s) Extension of Time Request Express Abandonment Request Express Abandonment Request Information Disclosure Statement Copy of Priority Document(s) Reply to Missing Parts/ Incomplete Application Reply to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Name SINSHEIMER, SCHIEBELHUT& BAGGETT Signature Printed name Jule A. Hopper Date CERTIFICATE OF TRANSMISSION/MAILING Incomplete Application Reg. No. 50869 CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. Signature | Amendment / Reply | | Petition | | Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) | |
| Affidavits/declaration(s) Affidavits/declaration(s) Extension of Time Request Extension of Time Request Express Abandonment Request Information Disclosure Statement Certified Copy of Priority Document(s) Reply to Missing Parts/ Incomplete Application Reply to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Name SINSHEIMER, SCHIEBELHUT & BAGGETT Signature Printed name Juke A. Hopper Date CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. Signature | After Final | | | | Proprietary Information | |
| Express Abandonment Request Request for Refund Return postcard to applicant's attorney. X Information Disclosure Statement CD, Number of CD(s) Landscape Table on CD Certified Copy of Priority Document(s) Reply to Missing Parts/ Incomplete Application Reply to Missing Parts under 37 CFR 1.52 or 1.53 Reply to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Name | Affidavits/declaration(s) | | Power of Attorney, Revocation | | Status Letter | |
| X Information Disclosure Statement | Extension of Time Request | | Terminal Disclaimer | | Other Enclosure(s) (please identify below): | |
| Certified Copy of Priority Document(s) Reply to Missing Parts/ Incomplete Application Reply to Missing Parts under 37 CFR 1.52 or 1.53 *Exclusive of cited references SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Name SINSHEIMER, SCHIEBELHUT & BAGGETT Signature Jurie A. Hopper Date Data | Express Abandonment Request | | Request for Refund | | Return postcard to applicant's attorney. | |
| Certified Copy of Priority Document(s) Reply to Missing Parts/ Incomplete Application Reply to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Name SINSHEIMER, SCHIEBELHUT & BAGGETT Signature Printed name Julie A. Hopper Date CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. Signature | X Information Disclosure Statement | | CD, Number of CD(s) | | | |
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| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Name SINSHEIMER, SCHIEBELHUT & BAGGETT Signature Printed name Julie A. Hopper Date CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. Signature | Document(s) | | | | | |
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| Printed name Julie A. Hopper Date CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. Signature | SINSHEIMER, SCHIEBEU | HUT | & BAGGETT | | | |
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| Typed or printed name Julie A. Hopper Date Oct 4 2005 | Signature Sului Appu | | | | | |
| | Typed or printed name Julie A. Hopper | | | | Date Oct 4, 2005 | |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Chaves

Serial No.: 10/816,228

Filed: 3/31/2004

Title: Optical device for LED-based lamp

Attorney Docket No.: 3084.028

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Group Art Unit:

2875

Examiner:

Tso

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

This Information Disclosure Statement is submitted:

X under 37 CFR 1.97(b), or (Within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)

__ under 37 CFR 1.97(c) together with either a:

- ___ Statement under 37 CFR 1.97(e), or
- a \$180.00 fee under 37 CFR 1.17(p), or
 (After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

__ under 37 CFR 1.97(d) together with a:

- ___ Statement under 37 CFR 1.97(e), and
- a \$180.00 fee set forth in 37 CFR 1.17(p).
- (Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

X Applicant(s) submit herewith Form PTO/SB/08B Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

The items listed on PTO/SB/08B are either in the English language or an English translation is provided, therefore, no further explanation is required.

It is requested that the information disclosed herein be made of record in this application.

Respectfully submitted,

SINSHEIMER, SCHIEBELHUT &

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Date of Deposit: Let. 5 . 2005

Typed Name: Julie A. Hopper

Julie A. Hopper

BAGGETT

Agent for Applicant(s)

Reg. No. 50869

Date: (Let. 5___, 2005

Telephone No.: 858-587-7649

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| 2 Substitute for forth 1443AF 10 | | Application Number | 10/816,228 | | |
| INFORMATION DISCLOSURE | | | JRE | Filing Date | 3/31/2004 |
| STATEMENT BY APPLICANT (Use as many sheets as necessary) | | | NT | First Named Inventor | Chaves |
| | | | | Art Unit | 2875 |
| | | | | Examiner Name | Tso |
| Sheet | 1 | of | 1 | Attorney Docket Number | 3084.028 |

| NON PATENT LITERATURE DOCUMENTS | | | | | |
|---------------------------------|-------------|---|----------------|--|--|
| Examiner Initials* | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² | | |
| | | International Search Report, PCT/US04/16313, mailed 3/21/2005 | | | |
| | | International Search Report, PCT/US04/24450, mailed 8/3/2005 | | | |
| | | International Search Report, PCT/US04/38584, mailed 7/18/2005 | | | |
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| Signature | Considered | |

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'Applicant's unique citation designation number (optional). 'Applicant is to place a check mark here if English language Translation is attached.

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